

PTC/SB/21 (03-04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

|                        |                     |
|------------------------|---------------------|
| Application Number     | 10/007,502          |
| Filing Date            | November 8, 2001    |
| First Named Inventor   | Jonathan R. Coppeta |
| Art Unit               | 1765                |
| Examiner Name          | Ahmed, Shamim       |
| Attorney Docket Number | 1099us              |

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CENTRAL FAX CENTER****JAN 27 2005****ENCLOSURES (Check all that apply)**

|  |   |   |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form   | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance Communication to TC                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input checked="" type="checkbox"/> Amendment/Reply  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)   | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter  |
| <input checked="" type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Change of Correspondence Address                 | <input type="checkbox"/> Other Enclosure(s) (please identify below):                    |
| <input type="checkbox"/> Express Abandonment Request   | <input type="checkbox"/> Terminal Disclaimer                              |   |
| <input type="checkbox"/> Information Disclosure Statement  | <input type="checkbox"/> Request for Refund                               |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                                    | <input type="checkbox"/> CD, Number of CD(s) _____                        |   |
| <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application                            | <input type="checkbox"/> Landscape Table on CD                            |   |
| <input type="checkbox"/> <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |
| <b>Remarks</b>   |   |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|              |                      |          |        |
|--------------|----------------------|----------|--------|
| Firm Name    | Houston Eliseeva LLP |          |        |
| Signature    |                      |          |        |
| Printed name | J. Grant Houston     |          |        |
| Date         | January 27, 2005     | Reg. No. | 35,900 |

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

|                       |                     |      |                  |
|-----------------------|---------------------|------|------------------|
| Signature             |                     |      |                  |
| Typed or printed name | Claire J. Handalian | Date | January 27, 2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04)

Approved for use through 07/31/2008. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## FEE TRANSMITTAL For FY 2005

 Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)  
**225**

## Complete if Known

|                      |                            |
|----------------------|----------------------------|
| Application Number   | <b>10/007,502</b>          |
| Filing Date          | <b>November 8, 2001</b>    |
| First Named Inventor | <b>Jonathan R. Coppeta</b> |
| Examiner Name        | <b>1765</b>                |
| Art Unit             | <b>Ahmed, Shamim</b>       |
| Attorney Docket No.  | <b>1099us</b>              |

## METHOD OF PAYMENT (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: **501547** Deposit Account Name: **Axsun Technologies, Inc.**

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee  
 Charge any additional fee(s) or underpayments of fee(s)  Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## FEE CALCULATION

## 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       | Fees Paid (\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) |                |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |                |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |                |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |                |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |                |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |                |

## 2. EXCESS CLAIM FEES

## Fee Description

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent **50** **25**Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent **200** **100**Multiple dependent claims **360** **180**

| Total Claims | Extra Claims | Fee (\$) | Fee Paid (\$) | Multiple Dependent Claims |               |
|--------------|--------------|----------|---------------|---------------------------|---------------|
|              |              |          |               | Fee (\$)                  | Fee Paid (\$) |
| - 20 or HP = | x            | =        |               |                           |               |

HP = highest number of total claims paid for, if greater than 20

| Indep. Claims | Extra Claims | Fee (\$) | Fee Paid (\$) |  |
|---------------|--------------|----------|---------------|--|
| - 3 or HP =   | x            | =        |               |  |

HP = highest number of independent claims paid for, if greater than 3

## 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

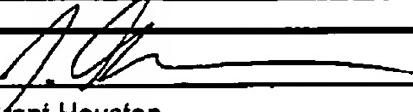
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee (\$) | Fee Paid (\$) |
|--------------|--------------|--|----------|---------------|
| - 100 =      | / 50 =       | (round up to a whole number) x                   | =        |               |

## 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Extension for response within second month **225**

## SUBMITTED BY

|                   |   |  |                               |
|-------------------|---|--|-------------------------------|
| Signature         |  | Registration No.<br>(Attorney/Agent) <b>35,900</b> | Telephone <b>781-863-9991</b> |
| Name (Print/Type) | J. Grant Houston  |  | Date <b>January 27, 2005</b>  |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|               |  |                  |                  |
|---------------|--|------------------|------------------|
| In Re:        | Jonathan R. Coppeta  | Confirmation No: | 2283             |
| Appl. No:     | 10/007,502   | Group:           | 1765             |
| Filed:        | November 8, 2001   | Examiner:        | Ahmed,<br>Shamim |
| For:          | Method for Fabricating micro<br>Optical Elements Using CMP |                  |                  |
| Customer No.: | 25263  |                  |                  |
| Attorney      | 0005.1099  |                  |                  |
| Docket No.    |  |                  |                  |

**AMENDMENT**

VIA FACSIMILE: **703-872-9306**  
**Commissioner for Patents**  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In response to the pending Office Action, mailed August 27, 2004 (Paper No./Mail Date 20040823), please amend the above-identified application as follows:

Amendments to the Claims are reflected in the listing of claims in section (a) of this paper.

Reconsideration is requested in view of the Remarks set forth in section (b) of this paper.

A two-month extension is requested for this response